Case 1:19-cv-00640-ABJ Document 1-3 Filed 03/07/19 Page 1 of 2 CIVIL COVER SHEET

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	I. (a) PLAINTIFFS				DEFENDANTS CECURITIES AND EXCHANGE COMMISSION						
NEW YORK STOCK EXCHANGE LLC				SECURITIES AND EXCHANGE COMMISSION							
11 Wall Street				100 F Street, NE							
New York, NY 10005				Washington, DC 20549							
(b) COUNTY OF RESIDENCE OF FIRST LISTED PLAINTIFF 88888 (EXCEPT IN U.S. PLAINTIFF CASES)				COUNTY OF RESIDENCE OF FIRST LISTED DEFENDANT (IN U.S. PLAINTIFF CASES ONLY) NOTE: IN LAND CONDEMNATION CASES, USE THE LOCATION OF THE TRACT OF LAND INVOLVED							
•		, AND TELEPHONE NUMBER)		NOTE: IN LAND CONDEMNATION CASES, USE THE LOCATION OF THE TRACT OF LAND INVOLVED ATTORNEYS (IF KNOWN)					ED		
Christina M. Carroll		ATTORNETS (IF KI	NOWIN)								
Dentons US LLP											
1900 K Street, NW, Washington, DC 20006											
(202) 496-7212	3	,									
II. BASIS OF JURISDICTION (PLACE AN x IN ONE BOX ONLY)			III. CITIZENSHIP OF PRINCIPAL PARTIES (PLACE AN x IN ONE BOX FOR PLAINTIFF AND ONE BOX FOR DEFENDANT) FOR DIVERSITY CASES ONLY! PTF DFT PTF DFT PTF DFT								
1 U.S. Government Plaintiff		leral Question S. Government Not a Party)	Citizen of	^	_		ted or Principal Place	O 4	O 4		
2 U.S. Government Defendant		versity dicate Citizenship of	Citizen of Another State 2 2 Inc		Incorpora	rporated and Principal Place 0 5 5 siness in Another State					
		rties in item III)	Citizen or Subject of a 3		Foreign N		O 6	O 6			
		THE CASE ASSES	ALL FELLER	A NID NI A TELEDE	OF STITE	-					
IV. CASE ASSIGNMENT AND NATURE OF SUIT (Place an X in one category, A-N, that best represents your Cause of Action and <u>one</u> in a corresponding Nature of Suit)											
O A. Antitrust	O A. Antitrust O B. Personal Injury/ Malpractice		O C. Administrative Agency Review			O D. Temporary Restraining Order/Preliminary					
410 Antitrust				15135 11			Injunctio	n			
110 1111111111111	310 Ai	-		151 Medicare Act			<u> </u>				
		rplane Product Liability sault, Libel & Slander	Social Security 861 HIA (1395ff) 862 Black Lung (923)			Any nature of suit from any category may be selected for this category of case assignment.					
		deral Employers Liability									
	340 Ma										
	345 Marine Product Liability		863 DIWC/DIWW (405(g))			*(If Antitrust, then A governs)*					
350 Motor Vehicle		arine Product Liability					^(II Antitrust, then A	governs)	*		
		•		864 SSID Title XVI			^(II Antitrust, then A	(governs	*		
	350 M	•	ty 🗀	864 SSID Title XVI 865 RSI (405(g))			^(II Antitrust, then A	governs)	*		
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O G. Habeas Corpus/ 2255	O H. Employment Discrimination	O I. FOIA/Privacy Act	O J. Student Loan					
530 Habeas Corpus – General 510 Motion/Vacate Sentence 463 Habeas Corpus – Alien Detainee	442 Civil Rights – Employment (criteria: race, gender/sex, national origin, discrimination, disability, age, religion, retaliation)	895 Freedom of Information Act 890 Other Statutory Actions (if Privacy Act)	152 Recovery of Defaulted Student Loan (excluding veterans)					
	(If pro se, select this deck)	*(If pro se, select this deck)*						
K. Labor/ERISA (non-employment) 710 Fair Labor Standards Act 720 Labor/Mgmt. Relations 740 Labor Railway Act 751 Family and Medical Leave Act 790 Other Labor Litigation 791 Empl. Ret. Inc. Security Act	L. Other Civil Rights (non-employment) 441 Voting (if not Voting Rights Act) 443 Housing/Accommodations 440 Other Civil Rights 445 Americans w/Disabilities – Employment 446 Americans w/Disabilities – Other 448 Education	M. Contract 110 Insurance 120 Marine 130 Miller Act 140 Negotiable Instrument 150 Recovery of Overpayment & Enforcement of Judgment 153 Recovery of Overpayment of Veteran's Benefits 160 Stockholder's Suits 190 Other Contracts 195 Contract Product Liability 196 Franchise	○ N. Three-Judge Court 441 Civil Rights – Voting (if Voting Rights Act)					
V. ORIGIN								
O 1 Original Proceeding Proceeding Court O 3 Remanded from Appellate Court O 3 Remanded or Reopened or Reopened Court O 5 Transferred from another district (specify) O 6 Multi-district O 7 Appeal to District Judge from Mag. Judge O 1 Direct File								
VI. CAUSE OF ACTION (CITE THE U.S. CIVIL STATUTE UNDER WHICH YOU ARE FILING AND WRITE A BRIEF STATEMENT OF CAUSE.) 5 U.S.C. § 552 (FOIA) - Failure to release records as required by Freedom of Information Act								
VII. REQUESTED IN COMPLAINT	CHECK IF THIS IS A CLASS ACTION UNDER F.R.C.P. 23 DEMAND JUI	S Check Y YES T	ES only if demanded in complaint NO X					
VIII. RELATED CASE(S) IF ANY	(See instruction) YES	NO 🗶 If yes, pl	lease complete related case form					
DATE: March 7, 2019	SIGNATURE OF ATTORNEY OF REC	CORD /s/ Christina	M. Carroll					

INSTRUCTIONS FOR COMPLETING CIVIL COVER SHEET JS-44 Authority for Civil Cover Sheet

The JS-44 civil cover sheet and the information contained herein neither replaces nor supplements the filings and services of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for the use of the Clerk of Court for the purpose of initiating the civil docket sheet. Consequently, a civil cover sheet is submitted to the Clerk of Court for each civil complaint filed. Listed below are tips for completing the civil cover sheet. These tips coincide with the Roman Numerals on the cover sheet.

- I. COUNTY OF RESIDENCE OF FIRST LISTED PLAINTIFF/DEFENDANT (b) County of residence: Use 11001 to indicate plaintiff if resident of Washington, DC, 88888 if plaintiff is resident of United States but not Washington, DC, and 99999 if plaintiff is outside the United States.
- III. CITIZENSHIP OF PRINCIPAL PARTIES: This section is completed <u>only</u> if diversity of citizenship was selected as the Basis of Jurisdiction under Section II.
- IV. CASE ASSIGNMENT AND NATURE OF SUIT: The assignment of a judge to your case will depend on the category you select that best represents the <u>primary</u> cause of action found in your complaint. You may select only <u>one</u> category. You <u>must</u> also select <u>one</u> corresponding nature of suit found under the category of the case.
- VI. CAUSE OF ACTION: Cite the U.S. Civil Statute under which you are filing and write a brief statement of the primary cause.
- VIII. RELATED CASE(S), IF ANY: If you indicated that there is a related case, you must complete a related case form, which may be obtained from the Clerk's Office.

Because of the need for accurate and complete information, you should ensure the accuracy of the information provided prior to signing the form.